

# **Alabama Historic Ironworks Commission**



## **Functional Analysis & Records Disposition Authority**

**Approved by the  
State Records Commission  
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# **Functional and Organizational Analysis of the Alabama Historic Ironworks Commission**

## **Sources of Information**

- Representatives of the Alabama Historic Ironworks Commission
- Code of Alabama 1975 § 41-9-320 through § 41-9-332
- Alabama Government Manual, 13th Edition (2010)
- “Alabama Ironworks Sourcebook” (website of the commission), [www.alaironworks.com](http://www.alaironworks.com).
- Website of Tannehill Ironworks Historical State Park, [www.tannehill.org](http://www.tannehill.org).
- Website of Brierfield Ironworks Historical State Park, [www.brierfieldironworks.com](http://www.brierfieldironworks.com).
- Department of Conservation and Natural Resources Records Disposition Authority (2007, 2014)

## **Historical Context**

Act 69-994 of the Alabama Legislature established this commission in 1969. Originally known as the Tannehill Furnace and Foundry Commission, its name was changed by Act 95-548 (1995) to the Alabama Historic Ironworks Commission, with expanded jurisdiction over other historic Alabama ironworks. Currently, the commission administers two Civil War-era historic sites: Tannehill and Brierfield Iron Furnaces. Both ironworks played an important role in the development of Alabama’s iron and steel industry and serve as examples of the process of iron making in the state’s early days. Both also contributed to the birth of Birmingham’s iron industry.

The first forge at Tannehill, on the banks of Roupes Creek, was built in 1830 by Daniel Hillman, “a Pennsylvania furnaceman” who died soon afterward. A local farmer, Ninian Tannehill, “took up the forge as a sideline to his farming operation.” Between 1859 and 1863, slave labor constructed three tall charcoal blast furnaces at Tannehill from sandstone rocks. With the outbreak of the Civil War, production at the ironworks expanded tremendously; at its height, Tannehill could turn out 22 tons of pig iron a day. The furnaces were burned by Wilson’s Raiders in March 1865. Nevertheless, they are still among the best preserved in the nation, and Tannehill Ironworks has been designated a National Metallurgical Engineering Landmark. Under its creating legislation (Code of Alabama 1975 § 41-9-326), the Historic Ironworks Commission acquired the property “known as ‘Old Tannehill Furnace’” from the University of Alabama. Today, the park encompasses 1,500 acres in Bibb, Jefferson, and Tuscaloosa Counties.

Brierfield Ironworks Historical State Park encompasses 150 acres in Bibb County. It is the site of the only ironworks actually owned by the Confederate States of America. “Spurred on by the desire to make a fortune from the South’s desperate need for iron,” the Bibb County Iron Company built its first furnace in 1862. Impressed by the quality of its production, the Confederate government purchased Brierfield in 1863, adding a second furnace and a rolling mill, only to have its ironworks burned by Wilson’s Raiders on the same day they burned Tannehill. After one false start, Brierfield was resurrected in the early 1880’s by Thomas Jefferson Peter, formerly general manager of the Atchison, Topeka, and Santa Fe Railroad.

Although initially successful as “the Magic City of Bibb County,” Brierfield was soon outclassed by Birmingham, whose “huge metal furnaces... could produce ten times as much iron per day as the old brick furnace” that Mr. Peter owned. His enterprise ceased operation on Christmas Eve 1894. Brierfield Ironworks Historical State Park is currently listed on the National Register of Historical Places and is a Civil War Preservation Trust historic site.

## Agency Organization

The commission is composed of 18 members. Fourteen are appointed by the governor and one each by the University of Alabama’s board of trustees, the University of Montevallo’s board of trustees, and the Alabama Historical Commission. A final member, appointed by the others, “shall by virtue of historical background be knowledgeable about the early Alabama iron industry... and [be] designated ‘historian.’” Members serve staggered, eight-year terms and receive no compensation, except reimbursement of expenses as provided by law. Ten members constitute a quorum. The commission elects a chairman, vice-chairman, secretary, and treasurer, who all serve one-year terms. Neither the secretary nor treasurer is required to be a member. The commission’s quarterly meetings are held at Tannehill Ironworks Historical State Park.

## Agency Function and Subfunctions

The commission is one of the agencies charged with carrying out the Stewardship function of Alabama government. Although its original mandate was “to preserve, restore, promote, and maintain” Tannehill as a state park, Act 95-548 extended its authority “to survey “historic ruins” and to preserve other sites, such as Brierfield, that “contributed to the heritage of the antebellum iron and coal industry” in Alabama. The commission is further empowered to establish and enforce regulations for its parks, to hire staff, and to collect admission fees. Today, it employs a director (who administers both parks from Tannehill), a museum curator (who serves as the commission’s secretary), a full-service police force, and office staff.

In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** Under the Code of Alabama 1975 § 41-9-325, the commission “shall have the power and authority to establish and promulgate... alter, amend or repeal rules and regulations concerning the preservation, protection and use” of its historic sites “and to preserve the peace therein.” At its quarterly meetings, the commission determines policy on such matters as hours of operation, admission and activity fees, and educational programs. Some policies and procedures are based on those of the Department of Conservation and Natural Resources, which administers most Alabama parks.
- **Acquiring, Preserving, and Promoting Historic Sites.** Besides its original acquisition of Tannehill Ironworks from the University of Alabama, and later of Brierfield Ironworks, the commission is authorized to “accept by gift, grant, long-term lease or other legal conveyance” other historic sites related to the antebellum iron

industry in Alabama. To acquire, maintain, and promote its sites and parks, the commission may borrow money, issue revenue bonds, or accept “gifts or behests of money” and “gratuitous services from individuals and organizations.” It may “enter into agreements with any civic organization[;] lay group[;] or industrial, professional, or governmental organization” to assist in managing and preserving its historic sites. Although the commission retains a line item in the state budget, it has received no legislative appropriation since 2009, depending primarily on park admission and activity fees to carry out its work.

- **Facilitating Recreation.** To assist in preserving and promoting its historic ironworks, the commission offers other recreational attractions in its parks. Between them, Tannehill and Brierfield feature a miniature railway, cabin rentals, campgrounds, picnic areas, hiking trails, swimming, fishing, birdwatching, other historical exhibits (craft cabins, cotton gins, grist mills, historic homes and churches, a pioneer farm, and a country store), and specialty food shops. Events held at the parks include trade days, yard sales, a dulcimer festival, mineral and jewelry shows, a fishing tournament, bowmen’s competitions, Civil War reenactments, and a moon pie eating contest. Income from these activities provides additional funding.
- **Educating.** Centerpiece of the commission’s educational program is the Iron and Steel Museum of Alabama, a 13,000-square-foot interpretive center located at Tannehill state park. Opened in 1981, it greatly expanded its exhibits in 2004-2005. The museum focuses on the Civil War period, “when 13 different iron companies and six rolling mills made Alabama the arsenal of the Confederacy.” However, it offers broader coverage of historical ironmaking, featuring an 1835 Dotterer steam engine once used on a South Carolina rice plantation, “a complete mid-1800s machine shop,” a bloomery forge with “one of the few helve hammers in the United States,” an adjacent cotton gin exhibit, and a heavy industrial display that “houses artifacts from Birmingham steel mills of the 1930s-1950s.” The museum has a 25-seat theatre and a gift shop.

In the early 1980s, the Iron and Steel Museum began a cooperative educational project with the University of Alabama, the Tannehill Learning Center. Its goal was to create meaningful field trips for Alabama school children, based on the Department of Education’s fourth-grade curriculum. University, Department of Conservation, and museum staff provide “learning loops” at Tannehill for children of all ages. The \$5-per-student fee can be waived for public schools where 40% or more of the students are eligible for free or reduced lunches.

The “Side Trails to History” Program “focuses on how workers, both free and slave... lived and worked [to support] settlement and manufacturing” in Civil War-era Alabama. The course, adaptable for grades k-12, includes stops at the museum, the blast furnaces, and the park’s recreated 1860s school. Following two hours of instruction, students may ride the park’s railway and visit its country store and sweet shop.

The “Creek Kids” Program provides hands-on environmental learning, in partnership with the Department of Conservation’s Wildlife and Freshwater Fisheries Division.

Students experience an overview of a watershed via a train ride, see the impact of a mill dam on fish passage, and visit the museum to learn about Alabama's iron industry. They also study how pollution can affect the aquatic environment, even wading into an actual bubbling spring for a close-up view of native fish and invertebrates.

- **Enforcing.** The Code of Alabama 1975 § 41-9-325 invests the commission with the power to hire law enforcement officers, “who shall have full authority to prefer charges against or make arrests of any person or persons violating any [commission] rule or regulation.” Violators are guilty of a misdemeanor and subject to fines of up to \$1,000 and/or imprisonment for up to a year, as well as court costs. The commission maintains a full-service law enforcement agency that serves both Tannehill and Brierfield. Officers are responsible for promoting park safety and security through law enforcement, community-oriented policing, and assisting park guests and visitors. They handle special events, conduct routine patrols, and assist neighboring agencies in times of need. The department maintains emergency medical response capabilities, search and rescue, and a reserve unit.
- **Administering Internal Operations.** A significant portion of the commission's work includes general administrative, financial, personnel, activities performed to support its programmatic areas:

**Managing the Agency:** Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policies and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and

accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# Analysis of Record Keeping System and Records Appraisal of the Alabama Historic Ironworks Commission

## Agency Record Keeping System

The Alabama Historic Ironworks Commission operates a hybrid system composed of paper and electronic records.

**Paper-based System:** Most of the board's records are created and maintained in paper form.

**Computer System:** The commission utilizes an electronic financial database for all gate admission sales, office sales, merchandise sales, facilities rental sales, and camping sales, as well as other financial records. Microsoft Access database software is used to track and maintain records of archival collections holdings. Access database records are backed up on onsite and off-site removable hard drives. All other electronic records kept by the commission are backed up with paper copies. The commission rarely scans records at this time.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Historic Ironworks Commission: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the commission are discussed below:

- **Attendance/Usage Records.** These records document public use of the commission's sites and facilities, such as its parks and historical museum, as well as attendance at special activities or functions. Such records may include attendance logs and sign-in sheets, admission tickets, and statistics and reports. They may be used to monitor patron and visitor trends; assess the success of events, programs, and activities; and identify patrons who had access to facilities and collections. Attendance records and related statistics may also be used for planning purposes and in preparing reports to funding agencies.
- **Researcher Registration Files.** These records contain more detailed information on researchers using collections at the Iron and Steel Museum of Alabama. Information available may include researchers' names and addresses, driver's license numbers, assigned researcher numbers, and types of research being conducted. The files may also contain call slips or other information about specific collections or items used by researchers. They are assigned a lengthy (15-year) retention period in case theft or damage to collections is discovered only after the researcher has departed.
- **Incident/Offense Reports.** According to the commission's parks administrator, the only records kept by its police (ranger) department are Incident/Offense Reports. These cover



only minor incidents at Tannehill or Brierfield, as any incidents involving felonies are referred to Tuscaloosa County law enforcement. The 10-year retention period for adult files is therefore based on that for misdemeanor I/O Reports in the local law enforcement RDA. Juvenile files are likewise assigned the corresponding disposition: “Retain until subject’s age of majority.”

**II. Permanent Records.** The Government Services Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Commission Meeting Agendas, Minutes, and Packets.** At its quarterly meetings, the commission determines policy on preserving and managing the historic sites and recreational facilities that it administers. This series includes minutes of commission meetings, as well as agendas and informational materials reviewed by members prior to meetings. The records provide core documentation of the commission’s decisions and activities in fulfilling its statutory mandate. **(Bibliographic Title: Alabama Historic Ironworks Commission Meeting Files)**

### **Acquiring, Preserving, and Promoting Historic Sites**

- **Informational and Promotional Publications.** Commission staff may create promotional brochures and pamphlets, programs, exhibit catalogs, or other publications promoting exhibits, special events, or other activities at the parks or museum. These records provide primary documentation of the commission’s promotional and educational activities. **(Bibliographic Title: State Publications)**
- **Financial Donation Files.** These records document monetary gifts to the commission’s parks or museum that result from fundraising or memorials, tributes, or gifts from private individuals or corporations. Also included are files relating to prospective donors and declined donations. Information in the records may include the names of donors, reasons for the donations and their acceptance or rejection, conditions or restrictions on the gifts, and correspondence with the donors and their families. Only the files of actual donations are appraised as permanent. Disposition calls for them to be retained in office.

### **Facilitating Recreation**

- **Special Events/Fundraising Files.** These records document the planning and conduct of special events held at the commission’s parks or museum. Events such as historical reenactments, sports competitions, and cultural exhibitions help to promote the parks and provide additional income. This series also covers fundraising campaigns, membership drives, and other events held at the Iron and Steel Museum. The records may include planning documentation; financial records, lists of participants or attendees; calendars of events; publicity materials; and financial or narrative reports. Planning documentation, final narrative reports, and samples of publicity materials are appraised as permanent, but

the disposition calls for them to be retained in office. Disposition is also provided for related temporary records.

## **Educating**

### **A. Records Specific to the Iron and Steel Museum of Alabama.**

- **Accreditation Files.** These records document the process of applying for, and receiving, accreditation from state or national professional standard-setting organizations. Information in the files may include a history of the museum; descriptions of facilities, funding, staff, and programs; accreditation requirements from the standard-setting organization; correspondence between the museum and organization; and the museum's accreditation status. These records provide a history of the museum's development and may be required to document its accreditation status and the professional standards governing its work. Disposition calls for them to be retained in office.
- **Collection Policies and Procedures.** These records provide ongoing documentation of the museum's collection goals, acquisition policies, and accessioning/deaccessioning procedures. They may include policy statements, procedures manuals, and memoranda or correspondence relating to agency collection policies. The records provide essential documentation of the museum's development and changes in its collection policies and goals. **(Bibliographic Title: Iron and Steel Museum of Alabama Collection Policies and Procedures)**
- **Accession/Deaccession Logs or Files.** These records describe items added to, or removed from, the museum's permanent collection. Besides providing a description of each item, these records document the reasons for accessioning or deaccessioning it. They are useful in proving ownership for legal or insurance purposes and in contacts with donors or members of the public. Disposition calls for them to be retained in office.
- **Donor Files.** These records document gifts of collection items to the museum. Also included are files relating to prospective donors and declined donations, but only files of actual donations are appraised as permanent. Information in the files may include the names of donors, descriptions of donated items, reasons for donations and their acceptance or rejection, conditions or restrictions on gifts, and correspondence with donors or their families. Donor files are essential for establishing the provenance of donated items. Disposition calls for them to be retained in office.
- **Collection Inventories.** These records document periodic inventories of all items in the archives or museum's collection. They contain item descriptions, acquisition information, and item locations and provide proof of the agency's ownership of collection items. Disposition calls for them to be retained in office.
- **Loan Files.** These records document temporary and permanent loans to and from the museum. They provide documentation of the transaction and proof that loaned items were received and returned. Information available in the records may include the lender's

and recipient's names and institutions, facilities reports from other institutions, a description of the item(s) loaned, loan agreement forms (including conditions of the loan), and receipts. The records provide essential documentation for legal and insurance purposes. Disposition calls for them to be retained in office.

- **Archival Control Files.** These records document all arrangement, description, cataloging, and preservation actions taken on a particular group or series of records. The files contain copies of transmittals, finding aids, bibliographical information, preservation activities, and location information. As a virtual "history-in-progress" of each item, these records provide essential documentation for archival collections held by the museum. Disposition calls for them to be retained in office.
- **Curatorial Objects Files.** These records document provenance, acquisition, identification, cataloging, maintenance, and repair work on objects or artifacts in the museum's collections. They also provide a visual description of each item and may contain photographs of objects. Disposition calls for them to be retained in office.
- **Exhibit Files – Planning Documentation and Sample Copies of Exhibit Catalog.** These records document the planning, research, and creation or staging of exhibits at the museum or as traveling exhibits. They may include planning documentation, descriptions of items, exhibit catalogs, loan agreements for borrowed items, certificates of insurance, and shipping receipts. Only planning documentation and one copy of the exhibit catalog are appraised as permanent. The disposition calls for them to be retained in office. Disposition is also provided for temporary records.

#### **B. Educational Programs Records Pertaining to the Commission's Parks and/or Museum.**

- **Educational Program Administrative Files.** These records document educational programs (historical reenactments, lectures, workshops, field trips, etc.) conducted by staff of the commission's historical parks or museum. Records of the "Side Trails to History" and "Creek Kids" programs are included. Appraised as permanent are planning documentation; samples of pro-motional materials (brochures, handouts, publications); and final narrative reports to oversight or funding agencies. Disposition for temporary records is also provided in the RDA section. **(Bibliographic Title: Administrative Files)**

### **Enforcing**

Permanent records documenting this subfunction include minutes of the commission and annual reports.

### **Administering Internal Operations**

- **Administrative Policies and Procedures.** These records provide essential documentation of a variety of issues in the commission's administration of its historic sites and facilities, including the Iron and Steel Museum of Alabama. Information in the records may or may not be reflected in the minutes of commission meetings. Issues

involved could include preservation, promotional, and educational activities; financial planning; museum collection policies and goals; personnel issues; and relations with the public and other governmental/funding agencies. **(Bibliographic Title: Administrative Policies and Procedures)**

- **Administrative Correspondence.** These records consist of policy-related correspondence, and related files, by commission members or senior administrative staff. They reflect decisions or deliberations on policies and procedures related to the commission and its museum and parks, as well as broader questions of administration. **(Bibliographic Title: Administrative Correspondence)**
- **Annual Reports.** The commission creates an annual narrative and financial report describing its activities, and those of its parks and museum, during the calendar or fiscal year. The report provides summary documentation of the commission's functions, projects, and activities during the year, as well as an ongoing agency history. They offer primary documentation of the commission's fulfillment of its statutory mandates. **(Bibliographic Title: State Publications)**
- **Historical Files.** These records are maintained by the commission to document its history. They may include newspaper clipping files, scrapbooks, photographs, films, audio or video tapes, copies of speeches, or other materials pertaining to important events affecting the commission, its parks, or the Iron and Steel Museum of Alabama. **(Bibliographic Title: Historical Files)**
- **Publicity Files.** These records may include press releases, newsletters, informational brochures, and announcements designed to publicize events or programs of the commission or its parks and museum. They document the commission's promotional activities. **(Bibliographic Title: Publicity Files)**
- **Website and Social Media Site(s).** The Alabama Historic Ironworks Commission maintains a website at [www.alaironworks.com](http://www.alaironworks.com). Tannehill and Brierfield parks have websites at [www.tannehill.org](http://www.tannehill.org) and [www.brierfieldironworks.com](http://www.brierfieldironworks.com), respectively. Tannehill's website includes the Iron and Steel Museum of Alabama, which also has a blog. ADAH archivists capture and preserve agency websites, and other social media sites, through a service offered by the Internet Archive (Archive It). This series documents the office's functions and interaction with the public. **(Bibliographic Title: Website and Social Media Site[s])**
- **Grant Files – Final Narrative Reports.** While not all grants are federally funded, disposition requirements for them in this RDA are based on federal requirements. Final narrative reports, which are appraised as permanent, are submitted according to the requirements of the funding agency. They summarize the goals of the grant, how the money was used, and what was accomplished. **(Bibliographic Title: Grant Project Final Reports)**

- **Training Records – Training Standards, Policies, Procedures, and Publications.** These records document the commission’s provision of in-service training and professional development for its employees. Records appraised as permanent document overall standards, policies, and procedures used –in providing specialized training to employees. They may include general policy statements or guidelines, training manuals, or related publications. The disposition calls for them to be retained in office. Disposition is also provided in the RDA for training program administrative files.
- **Building Plans, Specifications, and Renovation Files.** These files document the design, construction, repair, and renovation of commission or park buildings and facilities. Included may be specifications and floor plans, plans of proposed work, lists of materials, correspondence, memoranda, reports, blueprints, site plans, elevation details, and financial records. Plans, specifications, and blueprints are appraised as permanent, other records for the life of the building. **(Bibliographic Title: Construction Files)**

# **Permanent Records List**

## **Alabama Historic Ironworks Commission**

### **Promulgating Rules and Regulations**

1. Commission Meeting Agendas, Meetings, and Packets

### **Acquiring, Preserving, and Promoting Historic Sites**

1. Informational and Promotional Publications
2. Financial Donation Files\*

### **Facilitating Recreation**

1. Special Events/Fundraising Files\*

### **Educating**

1. Accreditation Files\*
2. Collection Policies and Procedures
3. Accession/Deaccession Logs or Files\*
4. Donor Files\*
5. Collection Inventories\*
6. Archival Control Files\*
7. Curatorial Objects Files\*
8. Exhibit Files – Planning Documentation and Sample Copies of Exhibit Catalog\*
9. Educational Program Administrative Files

### **Administering Internal Operations**

1. Administrative Policies and Procedures
2. Administrative Correspondence
3. Annual Reports
4. Historical Files
5. Publicity Files
6. Website and Social Media Site(s)
7. Grant Files – Final Narrative Reports
8. Training Records – Training Standards, Policies, Procedures, and Publications\*
9. Building Plans, Specifications, and Renovation Files

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **Alabama Historic Ironworks Commission Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Historic Ironworks Commission. The RDA lists records created and maintained by the commission in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the commission to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Services Division at (334) 242-4452.

## **Explanation of Records Requirements**

- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.
- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Historic Ironworks Commission's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of

material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Alabama Historic Ironworks Commission and lists the groups of records created and/or maintained by the commission in carrying out those subfunctions. The commission may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular biannual meetings.

*\* Denotes agency vital records, defined as records required to carry on its essential operations, to protect its legal and financial interests, and to assist in its recovery during a period of emergency or natural disaster.*

### **Promulgating Rules and Regulations**

#### **COMMISSION MEETING MINUTES, AGENDAS, AND PACKETS\***

Disposition: PERMANENT RECORD.

#### **Recordings of Meetings**

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

#### **Internal Committee Meeting Minutes/Notes**

Disposition: Temporary Record. Retain 5 years.

#### **Commission Member Appointment Files**

Disposition: Temporary Record. Retain 5 years after the term is expired.

### **Acquiring, Preserving, and Promoting Historic Sites**

#### **Deeds to the Historic Sites and Properties**

Disposition: Temporary Record. Retain until property is no longer owned by the commission.

#### **INFORMATIONAL AND PROMOTIONAL PUBLICATIONS**

Disposition: PERMANENT RECORD.

#### **Financial Donation Files**

##### **a. FILES OF FINANCIAL DONATIONS\***

Disposition: PERMANENT RECORD. Retain in office.



- b. Files of Potential Financial Donations (“lead files” and correspondence)
  - i. FILES THAT RESULT IN DONATIONS  
Disposition: PERMANENT RECORD. Transfer to Donor Files.
  - ii. Files that do not result in donations  
Disposition: Temporary Record. Retain for useful life.
- c. Files of Declined Financial Donations  
Disposition: Temporary Record. Retain 5 years after last contact with potential donor.

## **Facilitating Recreation**

### **Attendance/Usage Records**

- a. Attendance Logs and Sign-in Sheets  
Disposition: Temporary Record. Retain 6 years or until any resulting litigation is concluded (Code of Alabama 1975 § 6-2-34).
- b. Attendance Statistics and Reports  
Disposition: Temporary Record. Retain for useful life.
- c. Admission Tickets to Sites, Facilities, and Events  
Disposition: Temporary Record. Retain 1 year after audit.

### **Special Events/Fundraising Files**

- a. PLANNING DOCUMENTATION, FINAL NARRATIVE REPORTS, AND SAMPLES OF PUBLICITY MATERIALS  
Disposition: PERMANENT RECORD. Retain in office.
- b. Lists of Attendees or Participants, Attendance Logs and Sign-in Sheets, Program Evaluation Forms  
Disposition: Temporary Record. Retain until completion of final narrative report. If no report is required, retain for useful life.
- c. Admission Tickets and Other Routine Financial Records  
Disposition: Temporary Record. Retain 1 year after audit.

### **Volunteer Files**

- a. Volunteer program administrative files (lists of names, addresses, and work assignments; documentation of training and volunteer appreciation activities)  
Disposition: Temporary Record. Retain for useful life.

- b. Files on individual volunteers (applications, work histories, publicity articles, service awards)  
Disposition: Temporary Record. Retain 6 years after last contact with volunteer.

## **Educating**

### **Records Specific to the Iron and Steel Museum of Alabama**

#### **ACCREDITATION FILES\***

Disposition: PERMANENT RECORD. Retain in office.

#### **COLLECTION POLICIES AND PROCEDURES\***

Disposition: PERMANENT RECORD.

#### **ACCESSION/DEACCESSION LOGS OR FILES**

Disposition: PERMANENT RECORD. Retain in office.

#### **Donor Files\***

- a. FILES OF DONATED ITEMS  
Disposition: PERMANENT RECORD. Retain in office.
- b. Files of Potential Donations (“lead files” and correspondence)
  - i. FILES THAT RESULT IN DONATIONS  
Disposition: PERMANENT RECORD. Transfer to Donor Files.
  - ii. Files that do not result in donations  
Disposition: Temporary Record. Retain for useful life.
- c. Files of Declined Donations  
Disposition: Temporary Record. Retain 5 years after last contact with potential donor.

#### **Shelf Lists, Location Files, and Finding Aids**

Disposition: Temporary Record. Retain until superseded or no longer useful.

#### **Card Catalogs or Files**

- a. Card Files for Items Catalogued Electronically  
Disposition: Temporary Record. Retain until verification of all data in cataloging database. Once data has been verified, retain card files for useful life.
- b. Card Files for Items Not Catalogued Electronically  
Disposition: Temporary Record. Retain until item is deaccessioned.

## **Cataloging Worksheets and Databases**

- a. Data Entry Worksheets  
Disposition: Temporary Record. Retain until verification of data in cataloging database.
- b. Databases of Collections  
Disposition: Temporary Record. Retain until superseded or no longer useful.

## **COLLECTION INVENTORIES\***

Disposition: PERMANENT RECORD. Retain in office.

## **LOAN FILES\***

Disposition: PERMANENT RECORD. Retain in office.

## **ARCHIVAL CONTROL FILES**

Disposition: PERMANENT RECORD. Retain in office.

## **CURATORIAL OBJECTS FILES**

Disposition: PERMANENT RECORD. Retain in office.

## **Conservation Files on Museum Collection Items**

Disposition: Temporary Record. Retain for useful life.

## **Environmental Monitoring and Control Records (temperature and humidity readings, statistics on environmental conditions, or memoranda recommending corrective actions)**

Disposition: Temporary Record. Retain for useful life.

## **Reference Logs, Statistics, and Reports (documenting reference use of collections and staff assistance to patrons making reference inquiries)**

Disposition: Temporary Record. Retain for useful life.

## **Researcher Registration Files**

Disposition: Temporary Record. Retain 15 years.

## **Exhibit Files**

- a. PLANNING DOCUMENTATION, SAMPLE COPIES OF EXHIBIT CATALOG  
Disposition: PERMANENT RECORD. Retain in office.
- b. Loan Agreements, Certificates of Insurance for Borrowed Items  
Disposition: Temporary Record. Retain 10 years after return of borrowed item.
- c. Correspondence, Shipping Receipts, and Other Routine Financial Records  
Disposition: Temporary Record. Retain correspondence 3 years; retain shipping receipts and other routine financial records 1 year after audit.

## **Security and Access Control Records**

- a. Staff access logs and sign-in sheets/security card printouts  
Disposition: Temporary Record. Retain 1 year.
- b. Property pass files (staff sign-out sheets, receipts, etc.)  
Disposition: Temporary Record. Retain 1 year after property's return.
- c. Guards' inspection reports of collections/artifacts  
Disposition: Temporary Record. Retain 2 years.
- d. Electronic security monitoring system log sheets  
Disposition: Temporary Record. Retain 3 years.
- e. Routine electronic security monitoring system recordings  
Disposition: Temporary record. Retain 30 days, or until final disposition/resolution of any criminal cases, litigation, or other incidents for which recordings provide evidence.
- f. Security/emergency response records  
Disposition: Temporary Record. Retain 6 years after final disposition/resolution of event or any resulting criminal cases, litigation, or claims due.
- g. Fire Extinguisher and Alarm Maintenance/Inspection Records  
Disposition: Temporary Record. Retain 2 years.
- h. Building Sprinkler System Maintenance/Inspection Records  
Disposition: Temporary Record. Retain 2 years.
- i. Fire/Safety Inspection Results  
Disposition: Temporary Record. Retain until superseded.

## **Educational Program Records Pertaining to the Commission's Parks and/or Museum**

### **Educational Program Administrative Files (historical reenactments, lectures, workshops, field trips, etc., including the "Side Trails to History" and "Creek Kids" programs)**

- a. PLANNING DOCUMENTATION, SAMPLE COPIES OF PROMOTIONAL MATERIALS, FINAL NARRATIVE REPORTS TO OVERSIGHT OR FUNDING AGENCIES  
Disposition: PERMANENT RECORD.
- b. Lists of Attendees or Participants, Attendance Logs and Sign-in Sheets, Program Evaluation Forms  
Disposition: Temporary Record. Retain until completion of final narrative report. If no report is required, retain for useful life.

- c. Admission Tickets and Other Routine Financial Records  
Disposition: Temporary Record. Retain 1 year after audit.

## **Enforcing**

### **Incident/Offense Reports**

Disposition: Temporary Record. Retain records of adults 10 years. Retain records of juveniles until the subject reaches the age of majority.

## **Administering Internal Operations: Managing the Agency**

### **ADMINISTRATIVE POLICIES AND PROCEDURES\***

Disposition: PERMANENT RECORD.

### **ADMINISTRATIVE CORRESPONDENCE**

Disposition: PERMANENT RECORD.

### **ANNUAL REPORTS**

Disposition: PERMANENT RECORD.

### **HISTORICAL FILES**

Disposition: PERMANENT RECORD.

### **PUBLICITY FILES**

Disposition: PERMANENT RECORD.

### **Routine Correspondence**

Disposition: Temporary Record. Retain 3 years.

### **Administrative Reference Files**

Disposition: Temporary Record. Retain for useful life.

### **Telephone Logs, Mailing Lists, Appointment Calendars**

Disposition: Temporary Record. Retain for useful life.

### **Legal Case Files**

Disposition: Temporary Record. Retain 6 years after case is closed.

**Records documenting the implementation of the commission's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)**

Disposition: Temporary Record. Retain 1 year following audit.

### **Copies of approved RDA**

Disposition: Temporary Record. Retain 1 year after audit in the fiscal year in which the RDA is superseded.

**Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)\***

Disposition: Temporary Record. Retain documentation of former system 1 year after audit for the fiscal year in which the former hardware and software no longer exists anywhere in the board and all permanent records have been migrated into a new system.

**WEBSITE AND SOCIAL MEDIA SITE(S)**

Disposition: PERMANENT RECORD.

*(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Check with ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)*

**Administering Internal Operations: Managing Finances**

**Gift Shop Annual Inventories**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting the preparation of a budget package and reporting on the status of funds, requesting amendments of allotments, and reporting program performance\***

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products\***

Disposition: Temporary Record. Retain 1 year after audit.

**Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks\***

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries**

Disposition: Temporary Record. Retain 1 year following audit.

**GRANT FILES**

a. **FINAL NARRATIVE REPORTS**

Disposition: PERMANENT RECORD. Retain in office.

b. **Financial Reports, Interim Narrative Reports, and Correspondence**

Disposition: Temporary Record: Retain 6 years.

c. **Subsidiary Financial Records**

Disposition: Temporary Record. Retain 3 years or until audited, whichever is longer.

**Audit Reports**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Records documenting the bid process, including requests for proposals and unsuccessful responses**

a. **Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$15,000**

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

b. **Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

**Contractual records established for the purpose of services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

**Administering Internal Operations: Managing Human Resources**

**Position Classification Records**

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

**Records documenting application for employment**

Disposition: Temporary Record. Retain 2 years.

**Records documenting an employee's work history, generally maintained as a case file**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting payroll deduction authorizations**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting payroll (e.g. pre-payroll reports, payroll check registers)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting payroll deductions for tax purposes (including Form 941)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting employees' daily and weekly work schedules**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting sick leave donations**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting final leave status**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)**

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaint.

**Employee Flexible Benefits Plan Files (applications and correspondence)**

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

**Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims**

Disposition: Temporary Record. Retain 12 years after separation of the employee from the agency.

**Employees Administrative Hearing Files**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Employee Flexible Benefits Plan Files (applications and correspondence)**

Disposition: Temporary Record. Retain 6 years.

**Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Intern Files**

Disposition: Temporary Record. Retain for useful life.



## **Training Records**

- a. TRAINING STANDARDS, POLICIES, PROCEDURES, AND PUBLICATIONS  
Disposition: PERMANENT RECORD. Retain in office.
- b. Training Administrative Records (lesson plans, presentations, lists of attendees at training sessions, unpublished handouts, assessments of training by participants)  
Disposition: Temporary Record. Retain for useful life.

## **Administering Internal Operations: Managing Properties, Facilities, and Resources**

**Disaster Planning/Recovery Documentation (disaster plan, lists of vital records and equipment, locations of back-up record copies and emergency supplies, contact numbers for emergency assistance agencies, names and telephone numbers of disaster recovery team members, and disaster response and recovery procedures)**

Disposition: Temporary Record. Retain until superseded. Duplicate the current plan and disperse off-site copies among disaster recovery team members.

### **BUILDING PLANS, SPECIFICATION, AND RENOVATION FILES\***

Disposition: PERMANENT RECORD.

### **Agency Copies of Transfer of State Property Forms (SD-1)**

Disposition: Temporary Record. Retain 1 year after audit.

### **Property Inventory Affidavits**

Disposition: Temporary Record. Retain 1 year after audit.

### **Receipts of Responsibility for Property**

Disposition: Temporary Record. Retain until return of item to property manager.

### **Incident/Accident Report**

Disposition: Temporary Record. Retain 2 years following incident/accident.

### **Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the vehicle was removed from the property inventory.

# **Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)**

## **Requirement**

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of records of the Alabama Historic Ironworks Commission as stipulated in the document.

One condition of this authorization is that the commission submit an annual Records Disposition Authority (RDA) Implementation Report on its records management activities, including documentation of records destruction, to the State Record Commission in October of each year.

## **Recommendations**

In addition, the Alabama Historic Ironworks Commission should make every effort to establish and maintain a quality record-keeping program through the following activities:

The commission should designate a managerial position as its records liaison. This position is responsible for: ensuring the development of quality record-keeping systems that meet the commission’s business and legal needs, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in October of each year, and ensuring the regular implementation of the commission’s approved RDA.

Destruction of temporary records, as authorized in this RDA, should occur commission-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

The commission should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the commission chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the

commission should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of permanent records in the commission's custody and inspect records destruction documentation. Government Services Division archivists are available to instruct commission staff in RDA implementation and otherwise assist the office in implementing its records management program.

The State Records Commission approved this Records Disposition Authority on October 21, 2015.

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Steve Murray, Chairman  
State Records Commission

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Date

Receipt acknowledged:

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Bobby Miller, Chairman  
Alabama Historic Ironworks Commission

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Date